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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Eric Sven Hellman and
Richard Miles Poindexter

Serial No.: 09/437,378

Filed: November 10, 1999

For: RETRIEVAL OF DIGITAL OBJECTS BY
REDIRECTION OF CONTRLLED
VOCABULARY SEARCHES

Attorney Docket No.: OIQ-001



Group Art Unit:

Examiner:

Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR REFUND OF EXCESS FEES

Sir:

Enclosed herewith is the executed Verified Statement Claiming Small Entity
Status form in connection with the above-identified patent application. Applicants
request a refund of one-half the excess filing fee (\$623.00) paid on November 10, 1999.

Please credit the amount of \$623.00 to our Deposit Account No. 12-0080. For
this purpose, we enclose a duplicate copy of this letter.

Certificate of First Class Mailing (37 CFR 1.8(a))

I hereby certify that this correspondence is deposited with the
United States Postal Service as first class mail in an envelope
addressed to: Assistant Commissioner for Patents, Washington,
DC 20231 on:

December 1, 1999

Date

Kevin J. Canning, Esq. Reg. No. 35,470

Respectfully submitted,

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Repln. Ref: 02/15/2000 EBERY 0012280500
DA# 120080 Name/Number: 09437378
FC: 704 \$623.00 CR

1999 DEC -7 PM 2:32

RECEIPT ACCOUNTING
DIVISION

Applicants or Patentee: Eric Sven Hellman and Richard Miles Poindexter

Attorney's

Serial or Patent No.:

Docket No.: OIQ-001

Filed or Issued: November 10, 1999

Title: RETRIEVAL OF DIGITAL OBJECTS BY REDIRECTION OF CONTROLLED VOCABULARY SEARCHES

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- ☒ the owner of the small business concern identified below:
☐ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Openly Informatics, Inc.

ADDRESS OF SMALL BUSINESS CONCERN 10 Columbus Ave, Suite C

Montclair, NJ 07042

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 37 CFR 1.21.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME

ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME

ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Eric Sven Hellman

TITLE OF PERSON OTHER THAN OWNER

ADDRESS OF PERSON SIGNING Openly Informatics, Inc., 10 Columbus Ave, Suite C, Montclair, NJ 07042

SIGNATURE

Eric S. Hellman

DATE

11/16/99